

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Stuart Lee Breslow et al. Group Art Unit: 2768  
 Serial No.: 09/476,448 Examiner: Not yet Assigned  
 Filed: December 30, 1999  
 For: **ON-LINE TRADING SYSTEM**

Hon. Commissioner of Patents and Trademarks  
 Washington, DC 20231

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 JUL 22 2003

Sir:

**INFORMATION DISCLOSURE STATEMENT**  
UNDER 37 CFR §1.97(b)

**GROUP 3600**

In accordance with the duty of disclosure under 37 CFR. §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO-1449 Form. The Examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. A copy of each of the documents is enclosed for convenience of the Examiner.

In addition to the patents enclosed herein, applicants enclose literature regarding the following Internet sites which may be relevant to the subject application.

- (1) *www.daytradingstocks.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.
- (2) *www.wetrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.
- (3) *www.ameritrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and account management.
- (4) *www.schwab.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.
- (5) *www.datek.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.
- (6) *www.daytradersnet.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(7) *www.lombard.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(8) *www.fidelity.com* is a HTML-based Internet site that offers online trading of stocks account management.

(9) *www.suretrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(10) *www.tradingdirect.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(11) *www.americanexpress.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(12) *www.dljdirect.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(13) *www.jhdarbie.com* is a HTML-based Internet site that offers online trading of stocks and account management.

(14) *www.beseen.com/stocks/brokers.html* is a HTML-based Internet site that offers a list of online brokers that provide discount services to traders.

(15) *www.accutrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(16) *www.rapidtrade.com* is a HTML-based Internet site that offers online trading of stocks.

(17) *www.sec.gov/consumer/jneton.htm* is a stock information web site.

(18) *www.stockinfo.standardpoor.com* is a stock information web site.

The submission of the listed documents is not intended as an admission that any of the documents constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 50-0444.

Respectfully submitted,

*Leslie Gladstone Restaino*  
Leslie Gladstone Restaino  
Reg. No. 38,893

**Enclosures**

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(973) 538-0800

Dated: March 29, 2000

**Certificate of Mailing by First Class Mail**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231 on 03/29/2000.

*Angela L. Gehring*  
Signature of the person signing the certification

**Angela L. Gehring**

Printed or typed name of the person signing the certificate

**March 29, 2000**

**Date**

FORM PTO-1449 (Rev. 2-32)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO: 4034-46	SERIAL NO.: 09/476,448			
O P E INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT: Stuart Lee Breslow et al.						
JUL 17 2003 (Use several sheets if necessary)				FILING DATE: 12/30/1999	GROUP: 2768			
<b>U.S. PATENT DOCUMENTS</b>								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		4,823,265	04/18/1989	Nelson	364	408	05/11/1987	
		4,694,397	09/15/1987	Grant et al.	364	408	12/27/1984	
		4,346,442	08/24/1982	Musmanno	364	408	07/29/1980	
		4,751,640	06/14/1988	Lucas	364	408	06/14/1984	
		4,980,826	12/25/1990	Wagner	364	408	03/19/1984	
		5,038,284	08/06/1991	Kramer	364	408	02/17/1988	
		5,101,353	03/31/1992	Lupien et al.	364	408	05/31/1989	
		5,297,032	03/22/1994	Trojan et al.	364	408	02/01/1991	
		4,194,242	03/18/1980	Robbins	364	200	09/22/1976	
		4,376,978	03/15/1983	Musmanno	364	408	10/22/1980	
		4,566,066	01/21/1986	Towers	364	408	06/04/1982	
		4,597,046	06/24/1986	Musmanno et al.	364	408	09/30/1982	
		4,677,552	06/30/1987	Sibley, Jr.	364	408	10/05/1984	
		4,774,663	09/27/1988	Musmanno et al.	364	408	11/21/1983	
<b>FOREIGN PATENT DOCUMENTS</b>								
							TRANSLATION	
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, etc.)								
			www.daytradingstocks.com, Chris Wheeler, see attached sheet regarding related Internet sites.					
			www.etrade.com, see attached sheet regarding related Internet sites.					
			www.ameritrade.com, see attached sheet regarding related Internet sites.					
			www.schwab.com, see attached sheet regarding related Internet sites.					
			www.datek.com, see attached sheet regarding related Internet sites.					
			www.daytradersnet.com, see attached sheet regarding related Internet sites.					
			www.lombard.com, see attached sheet regarding related Internet sites.					
			www.fidelity.com, see attached sheet regarding related Internet sites.					
			www.suretrade.com, see attached sheet regarding related Internet sites.					
EXAMINER			DATE CONSIDERED					
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

(Form PTO 1449 [6-4])

FORM PTO-1449 (Rev. 2-32)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO: 4034-46	SERIAL NO.: 09/476,448
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>17 2003</i>		APPLICANT: Stuart Lee Breslow et al.	
(Use several sheets if necessary)		FILING DATE: 12/30/1999	GROUP: 2768

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,933,842	06/12/1990	Durbin et al.	364	408	02/29/1988
	5,132,899	07/21/1992	Fox	364	408	10/16/1989
	5,193,056	03/09/1993	Boes	364	408	03/11/1991
	5,214,579	05/25/1993	Wolfberg et al.	364	408	12/22/1989
	5,270,922	12/14/1993	Higgins	364	408	06/27/1991
	5,375,055	12/20/1994	Togher et al.	364	408	02/03/1992
	5,655,088	08/05/1997	Midorikawa et al.	395	237	03/01/1994
	5,845,266	12/01/1998	Lupien et al.	705	37	12/12/1995
	5,864,827	01/26/1999	Wilson	705	35	06/27/1997
	5,893,079	04/06/1999	Cwenar	705	36	03/27/1997
	5,911,136	06/08/1999	Atkins	705	36	03/26/1997
	5,918,217	06/29/1999	Maggioncalda et al.	705	36	12/10/1997
	5,926,801	07/20/1999	Matsubara et al.	705	37	04/03/1996

**FOREIGN PATENT DOCUMENTS**

						TRANSLATION	
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO

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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.) GROUP 3600**

		www.tradingdirect.com, see attached sheet regarding related Internet sites.
		www.americanexpress.com, see attached sheet regarding related Internet sites.
		www.dljdirect.com, see attached sheet regarding related Internet sites.
		www.jhdarbie.com, see attached sheet regarding related Internet sites.
		www.beseen.com/stocks/brokers.html, see attached sheet regarding related Internet sites.
		www.accurtrade.com, see attached sheet regarding related Internet sites.
		www.rapidtrade.com, see attached sheet regarding related Internet sites.
		www.sec.gov/consumer/jneton.htm, see attached sheet regarding related Internet sites.
		www.stockinfo.standardpoor.com, see attached sheet regarding related Internet sites.

EXAMINER	DATE CONSIDERED
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



PATENT  
ATTORNEY DOCKET NO. 4797-34

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: BRESLOW, Stuart Lee et al.

Serial No.: 09/476,448 Examiner: RUDY, Andrew J.

Filed: December 30, 1999 Group Art Unit: 3627

Title: **ON-LINE TRADING SYSTEM**

July 15, 2003

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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**INFORMATION DISCLOSURE STATEMENT GROUP 3600**

Sir:

Applicants respectfully submit herewith an Information Disclosure Statement (IDS) and an Information Disclosure Citation List, pursuant to 37 C.F.R. §§ 1.97 and 1.98. In the Office Action dated February 11, 2003 in connection with the above-identified application, the Examiner asserted that the “OTHER DOCUMENTS” submitted in the IDS filed on March 29, 2000 have not been reviewed since none were included with the US references.

Applicants submit herewith the present IDS and IDS Citation List including therein the “OTHER DOCUMENTS” cited in the March 29, 2000 IDS as well as a copy of the March 29, 2000 IDS and a copy of the postcard filed therewith indicating that the documents were sent to and received by the USPTO. With this submission, Applicants have not resubmitted the references cited in the March 29, 2000 IDS, but will do so upon request. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.



<b>INFORMATION DISCLOSURE CITATION LIST</b>	<b>Atty. Docket No.:</b> 4797-34	<b>Application Serial No.:</b> 09/476,448
	<b>Applicants:</b> Stuart Lee BRESLOW <i>et al.</i>	
	<b>Filing Date:</b> December 30, 1999	<b>Group Art Unit:</b> 3627

**OTHER DOCUMENTS** (including Author, Title, Date, Pertinent Pages, etc.)

	Day Trading Stocks.com, " <i>Day Trading Stocks.com Home Page</i> "(visited August 3, 1999) < <a href="http://daytradingstocks.com/">http://daytradingstocks.com/</a> > (3 pgs.)
	E*trade.com, " <i>Etrade Home Page</i> " (visited August 3, 1999) < <a href="http://www.etrade.com/cgi-bin/gx.cgi/AppLogic%2bHome">http://www.etrade.com/cgi-bin/gx.cgi/AppLogic%2bHome</a> > (1 pg.)
	Ameritrade, " <i>Ameritrade Home Page</i> " (visited August 3, 1999) < <a href="http://www.ameritrade.com">http://www.ameritrade.com</a> > (1 pg.)
	Charles Schwab, " <i>Charles Schwab Home Page</i> " (visited August 3, 1999) < <a href="http://www.schwab.com/SchwabNOW/mainBody.html">http://www.schwab.com/SchwabNOW/mainBody.html</a> > (2 pg.)
	Daytek Online, " <i>Daytek Home Page</i> " (visited August 3, 1999) < <a href="http://www.daytek.com">http://www.daytek.com</a> > (1 pg.)
	The Daytraders Network, " <i>The Daytraders Network Home Page</i> " (visited August 3, 1999) < <a href="http://www.daytradersnet.com">http://www.daytradersnet.com</a> > (2 pg.)
	Discover Brokerage, " <i>Discover Brokerage Home Page</i> " (visited August 3, 1999) < <a href="http://www.lombard.com">http://www.lombard.com</a> > (1 pg.)
	Fidelity Brokerage, " <i>Fidelity Brokerage Home Page</i> " (visited August 3, 1999) < <a href="http://www300.fidelity.com/index.shtml">http://www300.fidelity.com/index.shtml</a> > (1 pg.)
	Suretrade, " <i>Suretrade Home Page</i> " (visited August 3, 1999) < <a href="http://www.suretrade.com/Navigation/Visitor/welcome.html">http://www.suretrade.com/Navigation/Visitor/welcome.html</a> > (1 pg.)
	Trading Direct, " <i>Trading Direct Home Page</i> " (visited August 3, 1999) < <a href="http://www.tradingdirect.com/YOR/homeformat.html">http://www.tradingdirect.com/YOR/homeformat.html</a> > (1 pg.)
	American Express, " <i>American Express Financial Direct Home Page</i> " (visited August 3, 1999) < <a href="http://www.americanexpress.com/amex/bu/cda/main/1,1484,116,00.asp">http://www.americanexpress.com/amex/bu/cda/main/1,1484,116,00.asp</a> > (2 pgs.)
	DLJ Direct, " <i>DLJ Direct Home Page</i> " (visited August 3, 1999) < <a href="http://www.dljdirect.com">http://www.dljdirect.com</a> > (1 pg.)
	JH Darbie & Co., " <i>JH Darbie Home Page</i> " (visited August 3, 1999) < <a href="http://www.jhdarbie.com/home.html">http://www.jhdarbie.com/home.html</a> > (1 pg.)
	Being Seen, " <i>Online Stock Brokers: The Essential Internet Investor</i> " (visited August 3, 1999) < <a href="http://beseen.com/stocks/brokers.html">http://beseen.com/stocks/brokers.html</a> > (2 pgs.)

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**GROUP 3600**

**OTHER DOCUMENTS cont.** (including Author, Title, Date, Pertinent Pages, etc.)

		Accutrade, "Accutrade Home Page" (visited August 3, 1999) < <a href="http://www.accutrade.com/">http://www.accutrade.com/</a> > (1 pg.)
		RapidTrade, "RapidTrade Home Page" (visited August 3, 1999) < <a href="http://www.rapidtrade.com/">http://www.rapidtrade.com/</a> > (1 pg.)
		SEC, "Learn About Investing: The Internet and Online Trading" (visited August 3, 1999) < <a href="http://www.sec.gov/consumer/jneton.htm">http://www.sec.gov/consumer/jneton.htm</a> > (2 pg.)
		Standard and Poor's, "Retail Investor Services" (visited August 3, 1999) < <a href="http://www.stockinfo.standardpoor.com/">http://www.stockinfo.standardpoor.com/</a> > (1 pg.)

Examiner:	Date Considered:
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